United Nations S/AC.44/2004/(02)/59/Add.1

Security Council

Distr.: General
20 January 2006

Original: English

**Security Council Committee established pursuant to resolution 1540 (2004)**

## Letter dated 16 January 2006 from the Permanent Representative of Liechtenstein to the United Nations addressed to the Chairman of the Committee

With reference to your letter dated 15 November 2005, I have the honour to forward herewith additional information provided by Liechtenstein, including in the form of an updated matrix (see annex). In areas which are regulated by laws and regulations under the umbrella of the 1923 Customs Union Agreement with Switzerland, the information included in the matrix is identical to the information provided to the Committee by Switzerland. Insofar as the attached matrix contains information identified by the Committee itself, Liechtenstein does consent to retain such information, as requested in your letter.

We trust that this information will be useful for the Committee, and underline our continued commitment to cooperate with the Committee and to provide further information as needed.

(*Signed*) Christian **Wenaweser**
Ambassador
Permanent Representative

06-21968 S (E) 130206

**Annex to the letter dated 16 January 2006 from the Permanent Representative of Liechtenstein to the United Nations addressed to the Chairman of the Committee**

**Implementation of Security Council resolution 1540 (2004)**

**Additional information provided by Liechtenstein**

General remark

On 23 March 1923 Switzerland and the Principality of Liechtenstein concluded a Customs Union Agreement under which the national territories of Switzerland and the Principality of Liechtenstein form a common customs area. For this reason a great number of Swiss laws are applicable in Liechtenstein. The application of these laws in Liechtenstein is limited to regulations concerning import, export or transit through the combined Swiss/Liechtenstein customs territory.

1. National legislation to prohibit **non-state actors** from pursuing any activity related to WMD and their means of delivery as well as attempts to engage in any such activities

Article 7 of the Swiss Law on War Materials (514.51) which is also applicable in Liechtenstein prohibits any activity related to WMD whatsoever by whomsoever as well as any activity facilitating such actions, and thus includes non-state actors. It applies to all Swiss citizens and people living in Switzerland irrespective of the country in which they carry out these activities. The same applies with regard to offenders of Liechtenstein nationality or offenders who are domiciled in Liechtenstein:

***Article 7: Nuclear, biological, and chemical weapons***

*1. It is forbidden to*

*a. develop, manufacture, procure as an intermediary, acquire, hand over to anyone, import, export, transit, or store nuclear, biological, or chemical weapons (NBC weapons) or to dispose of them in any other way;*

*b. incite anyone to commit an act mentioned in subparagraph a.;*

*c. facilitate the commission of an act mentioned in subparagraph a.*

*2. Do not fall under the scope of this prohibition acts that are intended to:*

*a. enable the competent agencies to destroy NBC weapons, or*

*b. ensure the protection against the effects of NBC weapons or combat these effects.*

*3. The prohibition applies also to acts committed abroad, notwithstanding the law applicable in the place of commission, if:*

*a. these acts violate agreements of international law to which Switzerland is a party, and*

*b. the author is Swiss or domiciled in Switzerland.*

Article 34 of the same Law establishes the relevant penalties and Article 36 stipulates that even *attempts* to commit any offence related to WMD are subject to prosecution:

> ***Article 34: Infractions to the prohibition on nuclear, biological, and chemical weapons***
>
> *1. Will be punished to a confinement for up to ten years at the most or imprisonment any person who, intentionally and without being able to invoke one of the exceptions mentioned in article 7, paragraph 2:*
>
> *a. develops, manufactures, procures as an intermediary, acquires, hands over to anyone, imports, exports, transits, stores nuclear, biological or chemical weapons (NBC weapons), or disposes of them in any other way,*
>
> *b. incites anyone to commit an act mentioned at subparagraph a., or facilitates the accomplishment of an act mentioned at subparagraph a.*
>
> *c. facilitates the accomplishment of an act mentioned at subparagraph a.*
>
> *2. The confinement or imprisonment can be accompanied by a fine of up to five million francs.*
>
> *3. If the author commits the acts out of negligence, the penalty will be of imprisonment of twelve months at the most or a fine of up to 500,000 francs.*
>
> *4. Any act committed abroad is punishable, notwithstanding the applicable law of the place of commission:*
>
> *a. if it violates international law agreements to which Switzerland is a party, and*
>
> *b. its author is Swiss or domiciled in Switzerland.*

2. Laws and regulations

2.1. Laws to secure and protect WMD and their means of delivery

Liechtenstein does not maintain armed forces and has never developed produced, acquired, possessed or stockpiled nuclear, chemical or biological weapons and their means of delivery.

2.2. Border controls to detect illicit trafficking of WMD

The customs and border controls are conducted by Swiss authorities in accordance with Swiss law. Border controls for the detection of illicit trafficking of WMD are in place. In such cases, Customs Law applies. Article 76 of the Swiss Customs Law (631.0) states that it is a criminal offence to export, import or transit goods that are controlled under other laws without the appropriate licence. This provision is mirrored in article 14 of the Law on the Control of Dual Use Goods and Military Goods which sets the penalties for this kind of offence. Further references to border controls are made in article 11 of the same law and in article 26 of the Ordinance on the Control of the Export, Import and Transit of Dual Use Goods and Specific Military Goods.

2.3. National export and trans-shipment controls:

For trans-shipment, see article 7 of the Law on War Materials which prohibits the trans-shipment of WMD.

National export controls: In general, national export controls are regulated by the Swiss Federal Law on the Control of Dual Use Goods and Specific Military Goods (946.202) and the Ordinance on the Export, Import and Transit of Dual Use Goods and Specific Military Goods (946.202.1).

3. Enforcing penalties for export control laws

Article 14 of the Swiss Law on the Control of Dual Use Goods establishes penalties of up to 5 million Swiss francs and imprisonment for up to 10 years for offences in connection with controlled goods.

4. Strengthening of multilateral non-proliferation treaties

Liechtenstein is of the opinion that the existing regime of multilateral treaties must constitute the basis for work in the area of non-proliferation. Full implementation, universal acceptance and where necessary strengthening of the existing instruments, in particular in the field of verification and monitoring, are indispensable elements of the long-term efforts to work towards the elimination of weapons of mass destruction.

* * * * *

**Comments on the Matrix attached to the Chairman of the Committee's letter dated 15 November 2005**

Pages 15, 17 and 19, Question 1

- See point 2.2. above.

Pages 15, 17 and 19, Question 5

- See point 2.3. above.

Page 21, Question 6

- The Liechtenstein police participates in the "Prophylax" program launched by the Swiss Federal police. "Prophylax" is aimed at making companies aware of the dangers of proliferation. Members of the police visit companies that sell products which might be used in WMD or missile programs.
- The Swiss Customs Administration uses an Advanced Cargo Information System for risk assessment, pre-screening, and preliminary criminal investigations. Customs officers are briefed regularly on methods to combat proliferation.

## OP 1 and related matters from OP 5, OP 6, OP 8 (a), (b), (c) and OP 10

State: Liechtenstein
Date of Report: 29 November 2004

| | Did you make one of the following statements or is your country a State Party to or Member State of one of the following Conventions, Treaties and Arrangements ? | YES | if YES, indicate relevant information (i.e. signing, accession, ratification, entering into force, etc) | Remarks (information refers to the page of the English version of the report or an official web site) |
|---|---|---|---|---|
| 1 | General statement on non-possession of WMD | X | Has never possessed WMD and their means of delivery | page 5 of the report |
| 2 | General statement on commitment to disarmament and non-proliferation | X | Liechtenstein is committed to full implementation, universal acceptance and where necessary strengthening of the existing multilateral non-proliferation treaties | |
| 3 | General statement on non-provision of WMD and related materials to non-State actors | X | Does not provide any form of support | page 4 of the report |
| 4 | Biological Weapons Convention (BWC) | X | Ratified 1991 | pages 3 and 9 of the report |
| 5 | Chemical Weapons Convention (CWC) | X | Ratified 1999 | pages 3 and 9 of the report |
| 6 | Nuclear Non-Proliferation Treaty (NPT) | X | Ratified 1978 | page 3 of the report |
| 7 | Comprehensive Nuclear Test Ban Treaty (CTBT) | X | Ratified 2004 | page 3 of the report |
| 8 | Convention on Physical Protection of Nuclear Material (CPPNM) | X | *In force 08 February 1987* | *http://www.iaea.org/Publications/Documents/Conventions/cppn_status.pdf* |
| 9 | Hague Code of Conduct (HCOC) | X | Subscribed | page 3 of the report |
| 10 | Geneva Protocol of 1925 | X | *Deposit 06 September 1991* | *http://disarmament.un.org:8080/TreatyStatus.nsf* |
| 11 | International Atomic Energy Agency (IAEA) | X | Since 1968 | page 9 of the report |
| 12 | Nuclear Weapons Free Zone/ Protocol(s) | | | |
| 13 | Other Conventions/Treaties | X | Sea-Bed Treaty | page 3 of the report |

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| | | | | |
|---|---|---|---|---|
| 14 | Other Arrangements | X | 1. Zangger Committee (ZC)<br>2. Australia Group (AG)<br>3. Missile Technology Control Regime (MTCR)<br>4. Nuclear Suppliers Group (NSG)<br>5. Wassenaar Arrangement (WA) | page 7 of the report |
| 15 | Other | X | Twelve UN Conventions and Protocols relating to the fight against terrorism ratified | page 4 of the report |

## OP 2 - Biological Weapons (BW)

State: **Liechtenstein**

Date of Report: 29 November 2004

| Does national legislation exist which prohibits persons or entities to engage in one of the following activities ? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties and others | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document of national implementation law | YES | if YES, indicate source document | |
| 1 | manufacture/produce | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 2 | acquire | X | | X | | |
| 3 | possess | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 4 | stockpile/store | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 5 | develop | X | | X | | |
| 6 | transport | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 7 | transfer | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 8 | use | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 9 | participate as an accomplice in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | page 5 of the report |
| 10 | assist in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 11 | finance a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | 1.Swiss Federal Law on War Material, Article 34<br>2.Liechtenstein Criminal Code 278 d: catch-all clause<br>3. Financial Market Supervisory Authority (FSMA) | pages 5 and 8 of the report |
| 12 | a.m. activities related to means of delivery | | | | | |
| 13 | involvement of non-State actors in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |

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| | | | | | | |
|---|---|---|---|---|---|---|
| 14 | Other | X | Swiss Federal Law on War Material, Article 7: import, export, transit and extraterritorial applicability | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |

## OP 2 - Chemical Weapons (CW)

State: **Liechtenstein**

Date of Report: 29 November 2004

| Does national legislation exist which prohibits persons or entities to engage in one of the following activities ? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties and others | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document of national implementation law | YES | if YES, indicate source document | |
| 1 | manufacture/produce | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 2 | acquire | X | | X | | |
| 3 | possess | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 4 | stockpile/store | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 5 | develop | X | | X | | |
| 6 | transport | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 7 | transfer | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 8 | use | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 9 | participate as an accomplice in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | page 5 of the report |
| 10 | assist in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 11 | finance a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | 1.Swiss Federal Law on War Material, Article 34<br>2.Liechtenstein Criminal Code 278 d: catch-all clause<br>3. Financial Market Supervisory Authority (FSMA) | pages 5 and 8 of the report |
| 12 | a.m. activities related to means of delivery | | | | | |
| 13 | involvement of non-State actors in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |

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| | | | | | | |
|---|---|---|---|---|---|---|
| 14 | Other | X | Swiss Federal Law on War Material, Article 7: import, export, transit and extraterritorial applicability | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |

## OP 2 - Nuclear Weapons (NW)

State: Liechtenstein
Date of Report: 29 November 2004

| Does national legislation exist which prohibits persons or entities to engage in one of the following activities ? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties and others | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document of national implementation law | YES | if YES, indicate source document | |
| 1 | manufacture/produce | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 2 | acquire | X | | X | | |
| 3 | possess | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 4 | stockpile/store | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 5 | develop | X | | X | | |
| 6 | transport | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 7 | transfer | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 8 | use | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | |
| 9 | participate as an accomplice in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | page 5 of the report |
| 10 | assist in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |
| 11 | finance a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | 1.Swiss Federal Law on War Material, Article 34<br>2.Liechtenstein Criminal Code 278 d: catch-all clause<br>3. Financial Market Supervisory Authority (FSMA) | pages 5 and 8 of the report |
| 12 | a.m. activities related to means of delivery | | | | | |
| 13 | involvement of non-State actors in a.m. activities | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 14 | Other | | X | Swiss Federal Law on War Material, Article 7: import, export, transit and extraterritorial applicability | X | Swiss Federal Law on War Material, Article 34 | pages 4 and 5 of the report |

## OP 3 (a) and (b) - Account for/Secure/Physically protect BW including Related Materials

State: Liechtenstein

see attached comments

Date of Report: 29 November 2004

| Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties, and others | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document | YES | if YES, indicate source document | |
| 1 | Measures to account for production | | | | | |
| 2 | Measures to account for use | | | | | |
| 3 | Measures to account for storage | | | | | |
| 4 | Measures to account for transport | | | | | |
| 5 | Other measures for accounting | | | | | |
| 6 | Measures to secure production | | | | | |
| 7 | Measures to secure use | | | | | |
| 8 | Measures to secure storage | | | | | |
| 9 | Measures to secure transport | | | | | |
| 10 | Other measures for securing | | | | | |
| 11 | Regulations for physical protection of facilities/materials/ transports | | | | | |
| 12 | Licensing/registration of facilities/persons handling biological materials | | | | | |
| 13 | Reliability check of personnel | | | | | |
| 14 | Measures to account for/secure/ physically protect means of delivery | | | | | |
| 15 | Regulations for genetic engineering work | | | | | |



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| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 16 | Other legislation/ regulations related to safety and security of biological materials | | | | | | | |
| 17 | Other | | | | | | | |

## OP 3 (a) and (b) - Account for/Secure/Physically protect CW including Related Materials

State: Liechtenstein

see attached comments

Date of Report: 29 November 2004

| | Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect CW and Related Materials? Can violators be penalized ? | National legal framework | | Enforcement: civil/criminal penalties, and others | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document | YES | if YES, indicate source document | |
| 1 | Measures to account for production | | | | | |
| 2 | Measures to account for use | | | | | |
| 3 | Measures to account for storage | | | | | |
| 4 | Measures to account for transport | | | | | |
| 5 | Other measures for accounting | | | | | |
| 6 | Measures to secure production | | | | | |
| 7 | Measures to secure use | | | | | |
| 8 | Measures to secure storage | | | | | |
| 9 | Measures to secure transport | | | | | |
| 10 | Other measures for securing | | | | | |
| 11 | Regulations for physical protection of facilities/materials/ transports | | | | | |
| 12 | Licensing of chemical installations/entities/use of materials | | | | | |
| 13 | Reliability check of personnel | | | | | |
| 14 | Measures to account for/secure/ physically protect means of delivery | | | | | |
| 15 | National CWC authority | | | | | |



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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 16 | Reporting Schedule I, II and III chemicals to OPCW | X | Liechtenstein Office for Foreign Affairs: submission of periodic national reports | | | | |
| 17 | Account for, secure or physically protect old chemical weapons | | | | | | |
| 18 | Other legislation/ regulations controlling chemical materials | | | | | | |
| 19 | Other | | Agreement between Liechtenstein and Switzerland concerning the Execution of the CWC of 1993 | | | | page 10 of the report |

## OP 3 (a) and (b) - Account for/Secure/Physically protect NW including Related Materials

State: Liechtenstein

Date of Report: 29 November 2004

| Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties, and others | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document | YES | if YES, indicate source document | |
| 1 | Measures to account for production | X | Swiss Ordinance on Safeguards of 18 August 2004 | X | Swiss Ordinance on Safeguards of 18 August 2004 | |
| 2 | Measures to account for use | X | Swiss Ordinance on Safeguards of 18 August 2004 | X | Swiss Ordinance on Safeguards of 18 August 2004 | www.admin.ch |
| 3 | Measures to account for storage | X | Swiss Ordinance on Safeguards of 18 August 2004 | X | Swiss Ordinance on Safeguards of 18 August 2004 | |
| 4 | Measures to account for transport | X | Swiss Ordinance on Safeguards of 18 August 2004 | X | Swiss Ordinance on Safeguards of 18 August 2004 | |
| 5 | Other measures for accounting | X | Swiss Ordinance on Safeguards of 18 August 2004 | X | Swiss Ordinance on Safeguards of 18 August 2004 | |
| 6 | Measures to secure production | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | |
| 7 | Measures to secure use | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | page 10 of the report www.admin.ch |
| 8 | Measures to secure storage | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | |
| 9 | Measures to secure transport | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | page 10 of the report www.admin.ch |
| 10 | Other measures for securing | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | |
| 11 | Regulations for physical protection of facilities/materials/ transports | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Ordinance on Nuclear Energy of 10 December 2004 | |
| 12 | Licensing of nuclear installations/entities/use of materials | X | Swiss Law on Nuclear Energy of 21 March 2003 Swiss Ordinance on Nuclear Energy of 10 December 2004 | X | Swiss Law on Nuclear Energy of 21 March 2003 Swiss Ordinance on Nuclear Energy of 10 December 2004 | www.admin.ch |
| 13 | Reliability check of personnel | X | Swiss Ordinance on Personnel Security Checks in the area of nuclear entities (in preparation) | X | | |
| 14 | Measures to account for/secure/ physically protect means of delivery | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 15 | National regulatory authority | | | | | |
| 16 | IAEA Safeguards Agreements | X | 1. Safeguards Agreement *in force 04 October 1979*<br>2. Additional Protocol *approved 16 June 2005* | | | pages 3 and 9 of the report *http://www.iaea.org/OurWork/SV/Safeguards/sir_table.pdf* |
| 17 | IAEA Code of Conduct on Safety and Security of Radioactive Sources | | | | | |
| 18 | IAEA Database on Illicit Trafficking of Nuclear Materials and other Radioactive Sources | | | | | |
| 19 | Other Agreements related to IAEA | | | | | |
| 20 | Additional national legislation/regulations related to nuclear materials including CPPNM | X | Swiss Ordinance on security guards in nuclear entities (in preparation) | | | |
| 21 | Other | | | | | |

## OP 3 (c) and (d) and related matters from OP 6 and OP 10 - Controls of BW including Related Materials

**State:** Liechtenstein

**Date of Report:** 29 November 2004

| Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of BW and Related Materials ? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties, and measures of implementation, etc | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document | YES | if YES, indicate source document | |
| 1 | Border control | X | Customs Agreement with Switzerland | X | Customs and Border controls are conducted by Swiss authorities in accordance with Swiss law | pages 3 and 6 of the report |
| 2 | Technical support of border control measures | | | | | |
| 3 | Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology | X | 1. Law on Sanctions on Trade with Foreign States<br>2. Ordinance on the Brokerage of War Material | X | Law on Sanctions on Trade with Foreign States, Articles 4 - 5 | page 5 of the report |
| 4 | Enforcement agencies/authorities | X | Liechtenstein Police | | | |
| 5 | Export control legislation in place | X | 1. Swiss Federal Law on War Material, Article 7<br>2. Law on the Control of Goods usable for Civilian and Military Purposes and Specific Military Goods, LCG<br>3. Ordinance concerning the Export, Import and Transit of Dual-use Goods and Specific Military Goods, OCG | X | 1. Swiss Federal Law on War Material, Article 34<br>2. Infringements against legislation are punishable | pages 4 and 7 of the report |
| 6 | Licensing provisions | X | Article 3 OCG | | | |
| 7 | Individual licensing | X | Article 9 OCG | | | |
| 8 | General licensing | X | Article 10 OCG | | | |
| 9 | Exceptions from licensing | X | Article 13 OCG | | | |
| 10 | Licensing of deemed export/visa | | | | | |



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|---|---|---|---|---|---|---|
| 11 | National licensing authority | X | Swiss State Secretariat for Economic Affairs (SECO), Article 3 OCG | X | SECO is authorized to enter business premises without announcement and can deny and revoke permits | page 6 of the report |
| 12 | Interagency review for licenses | X | Article 16 OCG | | | |
| 13 | Control lists | X | Control lists issued by NSG, ZC, AG and MCTR | | | |
| 14 | Updating of lists | X | Article 22 LCG | | | |
| 15 | Inclusion of technologies | X | Article 3 LCG/Article 2 OCG | | | |
| 16 | Inclusion of means of delivery | X | MTCR membership | | | |
| 17 | End-user controls | | | | | page 6 of the report |
| 18 | Catch all clause | X | Article 4 OCG | | | |
| 19 | Intangible transfers | X | Article 3 LCG/Article 2 OCG | | | |
| 20 | Transit control | X | 1. Swiss Federal Law on War Material, Article 7 for BW<br>2. Article 25 OCG for related materials | X | Swiss Federal Law on War Material, Article 34 | pages 4 to 6 of the report |
| 21 | Trans-shipment control | X | 1. Swiss Federal Law on War Material, Article 7 for BW | | | |
| 22 | Re-export control | X | Article 3 OCG | | | |
| 23 | Control of providing funds | X | 1. Swiss Federal Law on War Material, Article 7 | X | 1. Swiss Federal Law on War Material, Article 34 | pages 5 and 7 of the report |
| 24 | Control of providing transport services | X | Swiss Federal Law on War Material, Article 7 | | | |
| 25 | Control of importation | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 5 and 6 of the report |
| 26 | Extraterritorial applicability | X | Swiss Federal Law on War Material, Article 34 | X | Swiss Federal Law on War Material | pages 5 and 6 of the report |
| 27 | Other | | | | | |

## OP 3 (c) and (d) and related matters from OP 6 and OP 10 - Controls of CW including Related Materials

State: Liechtenstein

Date of Report: 29 November 2004

| Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of CW and Related Materials ? Can violators be penalized ? | | National legal framework | | Enforcement: civil/criminal penalties, and measures of implementation, etc | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document | YES | if YES, indicate source document | |
| 1 | Border control | X | Customs Agreement with Switzerland | X | Customs and Border controls are conducted by Swiss authorities in accordance with Swiss law | pages 3 and 6 of the report |
| 2 | Technical support of border control measures | | | | | |
| 3 | Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology | X | 1. Law on Sanctions on Trade with Foreign States<br>2. Ordinance on the Brokerage of War Material | X | Law on Sanctions on Trade with Foreign States, Article 4 - 5 | page 5 of the report |
| 4 | Enforcement agencies/authorities | X | Liechtenstein Police | | | |
| 5 | Export control legislation in place | X | 1. Swiss Federal Law on War Material, Article 7<br>2. Law on the Control of Goods usable for Civilian and Military Purposes and Specific Military Goods; LCG<br>3. Ordinance concerning the Export, Import and Transit of Dual-use Goods and Specific Military Goods; OCG | X | 1. Swiss Federal Law on War Material, Article 34<br>2. Infringements against legislation are punishable | pages 4 and 7 of the report |
| 6 | Licensing provisions | X | Article 3 OCG | | | |
| 7 | Individual licensing | X | Article 9 OCG | | | |
| 8 | General licensing | X | Article 10 OCG | | | |
| 9 | Exceptions from licensing | X | Article 13 OCG | | | |
| 10 | Licensing of deemed export/visa | | | | | |



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|---|---|---|---|---|---|---|
| 11 | National licensing authority | X | Swiss State Secretariat for Economic Affairs (SECO), Article 3 OCG | X | SECO is authorized to enter business premises without announcement and can deny and revoke permits | page 6 of the report |
| 12 | Interagency review for licenses | X | Article 16 OCG | | | |
| 13 | Control lists | X | Control lists issued by NSG, ZC, AG and MCTR | | | |
| 14 | Updating of lists | X | Article 22 LCG | | | |
| 15 | Inclusion of technologies | X | Article 3 LCG/Article 2 OCG | | | |
| 16 | Inclusion of means of delivery | X | MTCR membership | | | |
| 17 | End-user controls | | | | | page 6 of the report |
| 18 | Catch all clause | X | Article 4 OCG | | | |
| 19 | Intangible transfers | X | Article 3 LCG/Article 2 OCG | | | |
| 20 | Transit control | X | 1. Swiss Federal Law on War Material, Article 7 for CW<br>2. Article 25 OCG for related materials | X | Swiss Federal Law on War Material, Article 34 | pages 4 to 6 of the report |
| 21 | Trans-shipment control | X | 1. Swiss Federal Law on War Material, Article 7 for BW | | | |
| 22 | Re-export control | X | Article 3 OCG | | | |
| 23 | Control of providing funds | X | 1. Swiss Federal Law on War Material, Article 7 | X | 1. Swiss Federal Law on War Material, Article 34 | pages 5 and 7 of the report |
| 24 | Control of providing transport services | X | Swiss Federal Law on War Material, Article 7 | | | |
| 25 | Control of importation | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 5 and 6 of the report |
| 26 | Extraterritorial applicability | X | Swiss Federal Law on War Material, Article 34 | X | Swiss Federal Law on War Material | pages 5 and 6 of the report |
| 27 | Other | | | | | |

## OP 3 (c) and (d) and related matters from OP 6, and OP 10 - Controls of NW including Related Materials

State: Liechtenstein

Date of Report: 29 November 2004

| | Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW and Related Materials ? Can violators be penalized ? | National legal framework | | Enforcement: civil/criminal penalties, and measures of implementation, etc | | Remarks |
|---|---|---|---|---|---|---|
| | | YES | if YES, indicate source document | YES | if YES, indicate source document | |
| 1 | Border control | X | Customs Agreement with Switzerland | X | Customs and Border controls are conducted by Swiss authorities in accordance with Swiss law | pages 3 and 6 of the report |
| 2 | Technical support of border control measures | | | | | |
| 3 | Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology | X | 1. Law on Sanctions on Trade with Foreign States<br>2. Ordinance on the Brokerage of War Material | X | Law on Sanctions on Trade with Foreign States, Article 4 - 5 | page 5 of the report |
| 4 | Enforcement agencies/authorities | X | Liechtenstein Police | | | |
| 5 | Export control legislation in place | X | 1. Swiss Federal Law on War Material, Article 7<br>2. Law on the Control of Goods usable for Civilian and Military Purposes and Specific Military Goods; LCG<br>3. Ordinance concerning the Export, Import and Transit of Dual-use Goods and Specific Military Goods; OCG | X | 1. Swiss Federal Law on War Material, Article 34<br>2. Infringements against legislation are punishable | pages 4 and 7 of the report |
| 6 | Licensing provisions | X | Article 3 OCG | | | |
| 7 | Individual licensing | X | Article 9 OCG | | | |
| 8 | General licensing | X | Article 10 OCG | | | |
| 9 | Exceptions from licensing | X | Article 13 OCG | | | |
| 10 | Licensing of deemed export/visa | | | | | |



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|---|---|---|---|---|---|---|
| 11 | National licensing authority | X | Swiss State Secretariat for Economic Affairs (SECO); Article 3 OCG | X | SECO is authorized to enter business premises without announcement and can deny and revoke permits | page 6 of the report |
| 12 | Interagency review for licenses | X | Article 16 OCG | | | |
| 13 | Control lists | X | Control lists issued by NSG, ZC, AG and MCTR | | | |
| 14 | Updating of lists | X | Article 22 LCG | | | |
| 15 | Inclusion of technologies | X | Article 3 LCG/Article 2 OCG | | | |
| 16 | Inclusion of means of delivery | X | MTCR membership | | | |
| 17 | End-user controls | | | | | page 6 of the report |
| 18 | Catch all clause | X | Article 4 OCG | | | |
| 19 | Intangible transfers | X | Article 3 LCG/Article 2 OCG | | | |
| 20 | Transit control | X | 1. Swiss Federal Law on War Material, Article 7 for NW<br>2. Article 25 OCG for related materials | X | Swiss Federal Law on War Material, Article 34 | pages 4 to 6 of the report |
| 21 | Trans-shipment control | X | 1. Swiss Federal Law on War Material, Article 7 for BW | | | |
| 22 | Re-export control | X | Article 3 OCG | | | |
| 23 | Control of providing funds | X | 1. Swiss Federal Law on War Material, Article 7 | X | 1. Swiss Federal Law on War Material, Article 34 | pages 5 and 7 of the report |
| 24 | Control of providing transport services | X | Swiss Federal Law on War Material, Article 7 | | | |
| 25 | Control of importation | X | Swiss Federal Law on War Material, Article 7 | X | Swiss Federal Law on War Material, Article 34 | pages 5 and 6 of the report |
| 26 | Extraterritorial applicability | X | Swiss Federal Law on War Material, Article 34 | X | Swiss Federal Law on War Material | pages 5 and 6 of the report |
| 27 | Other | | | | | |

## OP 6, 7 and 8 (d) - Control lists, Assistance, Information

State: Liechtenstein

Date of Report: 29 November 2004

| | Can information be provided on the following issues ? | YES | | Remarks |
|---|---|---|---|---|
| 1 | Control lists - items (goods/ equipment/materials/technologies) | X | Corresponding lists of ZC, AG, MTCR, NSG and WA are to be found in the Swiss Law on the Control of Goods Usable for Civilian and Military Purposes and Specific Military Goods and its accompanying ordinance which are also applicable in Liechtenstein | page 7 of the report |
| 2 | Control lists - other | | | |
| 3 | Assistance offered | X | Is willing to assist through capacity building, particularly in areas where it has relevant experience | page 8 of the report |
| 4 | Assistance requested | | | |
| 5 | Assistance in place (bilateral/plurilateral/multilateral) | | | |
| 6 | Information for industry | X | see attaced comments | |
| 7 | Information for the public | X | All laws and international agreements are published. The complete text may either be obtained at the Government Chancellery or viewed on the Internet | page 9 of the report |



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